

Status of Audits Current_Internal

Not Issued

City of Santa Fe

2015	Audit	False Alarms Follow Up Review	Comments
Type of Audit	Internal		Findings in the control of the PD have been cleared as of 06/24/2015. Still need to clear findings with Finance and vendor.
Auditor	Internal Audit		
Due Date of Audit	TBD		
Date Field Work Started	04/01/2015		

2015	Audit	Parking Follow Up Review	Comments
Type of Audit	Internal		08/05/15_PJ in Parking has left, so the remaining staff are working to clear the findings. 07/01/2015 Parking is putting evidence of cleared findings in folders on shared drive. We hope to have these cleared and a report issued by year end.
Auditor	Internal Audit		
Due Date of Audit	TBD		
Date Field Work Started	05/15/2015		

2015	Audit	Parking Forensic Audit Follow Up	Comments
Type of Audit	Internal		08/05/2015_PJ in Parking has left. Remaining staff are working on clearing the findings. 07/01/2015_Parking is putting evidence of cleared findings in folders on shared drive. We hope to have these cleared and a report issued by year end.
Auditor	Internal Audit		
Due Date of Audit	TBD		
Date Field Work Started	05/15/2015		

2016	Audit	Cash Reserves / Negative Balances	Comments
Type of Audit		Internal	Part of audit plan - dates and times not listed. Will try to fit this in as it is an important topic.
Auditor		Internal Audit	
Due Date of Audit		TBD	
Date Field Work Started		TBD	

2016	Audit	Duplicate Payments	Comments
Type of Audit		Internal	Part of audit plan 3rd and 4th quarter.
Auditor		Internal Audit	
Due Date of Audit		TBD	
Date Field Work Started		TBD	

2016	Audit	Family Medical Leave Act	Comments
Type of Audit		Internal	Part of audit plan 2nd and 3rd quarter.
Auditor		Internal Audit	
Due Date of Audit		TBD	
Date Field Work Started		TBD	

2016	Audit	Public Utilities - Phase One - Audit of	Comments
Type of Audit		Internal	12/08/2015_This audit is in progress. Entrance conference was initially held on October 27, 2015. Management expressed a concern that we get closure on the diverted deposits issue including a full understandign of wha thappened, and how to prevent it from happening in the future. It is felt that this issue takes precedence over an audit of the more general processes.
Auditor		Internal Audit	
Due Date of Audit			
Date Field Work Started		11/01/2015	

2016	Audit	Public Utilities - Phase Two Performa	Comments
Type of Audit		Internal	12/08/2015 - at the entrance conference on 10/27/2015 it was decided that this audit should be divided into 2 phases. The first one concentrating on the diverted funds, and the second concentrating on the general processes and internal controls. 08/05/15_This audit is in the planning phase. Meetings with management, and interviews for internal controls being conducted. 07/01/15 Part of 2016 audit plan, Will begin work in 1st quarter. 10/05/2015 - IA has requested a data dump of all adjustments for the FYE 2015 from IT. This data will be imported into a database and analyzed.
Auditor		Internal Audit	
Due Date of Audit		TBD	
Date Field Work Started		TBD	
2016	Audit	Vendor Security Audit	Comments
Type of Audit		Internal	Part of audit plan 1st and 2nd quarter.
Auditor		Internal Audit	
Due Date of Audit		TBD	
Date Field Work Started		TBD	